

City of Santa Clara
Ethics & Values Program
Highlights of Accomplishments
(since January 1, 2000)

Year 2000

Council unanimously approved a new Code of Ethics and Values, as recommended by Ethics Ordinance Committee (April 4, 2000). Council added the provision that the Code will be reviewed as part of Council Goal Setting sessions.

Council also approved the Committee recommendation to develop “Standards for Code of Ethics and Values” guide (April 4, 2000).

At the City Council meeting, the Council Candidates Program for those seeking elected office was discussed, including the concept of a similar program for seated elected officials who participate in elections.

City Management Training Program “Developing Your Reputation for Impeccable Ethics” was held Friday, April 28, 2000.

A Workshop for Candidates for Elective Office was held August 24, 2000 per Council’s approval of Ethics Ordinance Committee recommendation.

Ethics consultant Dr. Tom Shanks conducted a three-hour workshop for Department Heads and Division Managers, “Developing Your Reputation for Impeccable Ethics.” Department Heads followed-up with lists of implementation steps for educating all employees about the Code of Ethics and Values.

The City Manager, through Director of Water and Sewer Utilities, submitted information on the Ethics program to the American Water Works Association for a publication on “Ethical Dilemmas in the Water Industry.”

In preparation for the Orientation Program for New Board Members/Commissioners, ethics consultant Dr. Tom Shanks and the City Manager held two organizational meetings in June. One meeting was with Staff Liaisons to City Board/ Commissions and the other was with the Chairs of Boards/Commissions. The purpose of the meetings was to seek help in developing the program’s content, including an ethics and values focus. It was an opportunity to share their ideas on what should be included in an Orientation Program.

The League of California Cities requested papers and exhibits for the 27th Annual International Making Cities Livable Conference held in California and Georgia. The

City submitted the Ethics Program, including the process that the City undertook to develop a new Code of Ethics and Values. The paper was submitted under “Community Participation in City Making.”

An orientation program for new Board Members/Commissioners was held on July 17, 2000, including ethics and values content. All current and newly appointed Commissioners were invited. Approximately 50 people attended. Follow-up comments were very positive, reinforcing both the need and value of this type of program.

Council approved a new “Revolving Door” Ordinance but referred back one section to the Ethics Ordinance Committee relating to current Commissioners appearing before Council/Boards representing other individuals/companies. The Revolving Door Ordinance effective date was August 18, 2000.

Council requested that a program be offered that was geared for seated Council Members, specifically, “Ethical Standards for Supporting Candidates for Public Office”. This Council Study Session was held on Tuesday, August 22.

Two workshops were held with Ethics Committee members, City Commissioners and their Staff Liaisons on November 13 and December 14, 2000 with the goal of developing “Standards for Behavior” consistent with the Code of Ethics and Values.

An “Elected Officials Handbook” was developed by the Deputy City Manager and City Clerk to assist with Council Member orientation. The new publication debuted in November 2000. Chapters in the handbook include City Information, Procedures, Legal Issues, Helpful Advice, Directories, City Charter and Resource Material. Chapter 4 was devoted to Ethics and Values including background on the City’s Code of Ethics and Values; the Code itself; principles of ethical behavior; a checklist for monitoring conduct; living our values: the process and pocket card; and behavioral standards for Commissioners, Board Members and other appointed officials.

A Study Session was held with Council on November 28, 2000 to discuss the recent municipal election, and how Council Members ethically supported other candidates for City offices.

City representatives made a presentation at the International Making Cities Livable Conference on December 15, 2000 in San Francisco. The presentation was entitled “Living Our Values, Strengthening and Maintaining A Values Driven Organization at the City of Santa Clara,” and panelists included Mayor Judy Nadler, Vice Mayor Aldyth Parle, ethics consultant Dr. Tom Shanks, and City Manager Jennifer Sparacino. The presentation was enthusiastically received, with many good questions from the audience.

2001

The City Manager's Pilot Implementation Program with the Parks and Recreation and Fire Departments continued through Phase 1. Parks and Recreation Department personnel attended workshops in late March and late April to introduce the Code of Ethics and Values, and to give employees a chance to discuss its implications for their jobs. Employees completed two short surveys and identified members for a departmental "Make It Real" team to begin work in assisting the City and departmental management in implementing the Code.

The City Manager organized a citywide employee committee, comprised of 12 members from eight departments to recommend ways to identify, communicate, and implement next steps and best practices to advance the City's Ethics & Values program.

Mayor Judy Nadler, Vice Mayor Aldyth Parle, City Manager Jennifer Sparacino, and ethics consultant Dr. Tom Shanks presented the City's Ethics & Values program as a "Best Practices Case Study" at the International City Managers Assoc. in Newport, Rhode Island on April 26. The session was very well received and the City was invited to present the program at the National Conference of the ICMA on September 25 in Salt Lake City.

The Ethics & Values program was added as a core curriculum of the annual Leadership Santa Clara program. Two current Board and Commission members were part of the 2001 Leadership Santa Clara class, and along with the Deputy City Manager, were able to help foster discussion.

The Citywide employee committee continued to meet twice per month to develop advisory recommendations to the City Manager on next step implementations.

The Santa Clara Executive Management Team of the City Manager and Department Heads held several meetings with ethics consultant Dr. Shanks discussing how the Values Program will be introduced to departments and how it will become a part of everyday actions and decisions. The theme for these meetings is "Living Our Values: Developing Common Values and Common Ground in the City organization."

Discussion of the Code of Ethics and Values was incorporated into City's on-going mid-management training program "Leadership in the 21st Century."

The City's Human Resources Department has included the Ethics and Values emphasis on position announcements for City employment and in job descriptions for management employees.

The City made a presentation at ICMA Annual Meeting held in Salt Lake City on September 25, 2001, entitled, "Translating Ethics into Everyday Actions."

Ten members of City Boards and Commissions were recognized at the citywide Volunteer Recognition Event, October 3, for their assistance with the development of Standards of Behavior for the City's Code of Ethics and Values.

2002

A "Board and Commissions Handbook & Survival Guide" was developed by the Deputy City Manager with help from the City Clerk to assist Commissioners with their effectiveness and to assist new Commissioners with orientation. The new publication debuted in January 2002. Chapters in the handbook include Purpose; Procedures; Legal Issues; Helpful Advice; Directories; Glossary of Terms; and Resource Material. Similar to the handbook for elected officials, Chapter 4 was devoted to Ethics and Values including background on the City's Code of Ethics and Values; expectations of members of Boards, Commissions and Committees; the Code itself; living our values: the process and pocket card; and behavioral standards for Commissioners, Board Members and other appointed officials. Copies were provided to all Commissioners and appointed officials.

As the year 2002 was an election year, the City Council approved holding two workshops on Ethical Campaigning for Candidates for Elective Office on April 23 and August 15, 2002. Workshops were designed for candidates for elective office and their campaign workers.

At the April 8th and June 17th Ethics Ordinance Committee meetings, the City Manager provided a proposal to recognize Board/Commission Members. The proposal outlined the recognition of Board/Commission members by (1) holding an annual dinner separate from the citywide Volunteer Recognition Event; and (2) focusing on Board/Commissions in the City's quarterly newspaper, "Inside Santa Clara". Request for funding in the amount of \$7,000 for the dinner was referred to the budget process, and subsequently approved by Council.

A workshop on "Ethical Campaigning for Candidates for Elective Office" was held as a Special Order of Business at the April 23rd City Council meeting. Another workshop for candidates for elective office was scheduled for August 15, 2002.

At their June 17th meeting, the Ethics Committee unanimously accepted a "Draft Council Policy-Process for City Board/Commission Review" and made a motion to forward the proposed policy to Council for approval. A discussion on "Ground Rules for Citizen Complaints" and "Complaint Form" was continued.

At the League of California Cities Annual Conference in Long Beach, California, October 2-4, 2002, the City received the Helen Putnam Award of Excellence for its Ethics & Values program. The Mayor accepted the award on behalf of the City. In

addition, the League's calendar features the City's Ethics Program on the October page entitled, "Public Trust and Ethics."

A workshop on "Running for Office...Living Our Values" was held for candidates for elective office and their campaign workers on August 15, 2002. Dr. Tom Shanks, Associate Professor of Communication and Scholar at the Markkula Center for Applied Ethics at Santa Clara University, was the Workshop Coordinator.

To assist current and newly appointed members of Board/Commissions in the City of Santa Clara in becoming more familiar with their roles and responsibilities, a special workshop, "Living Our Values... Succeeding as a Board/Commission Member" was held on Monday, September 30, 2002. Dr. Tom Shanks, Associate Professor of Communication and Scholar at the Markkula Center for Applied Ethics at Santa Clara University, was the Workshop Coordinator. The City's recently created "Board and Commissions Handbook & Survival Guide" was also reviewed.

"A Council of Trust: Principles, Norms, Standards & Best Practices," a document that the City Council developed at their workshop, "Managing Change," held July 29, 2002, was approved by Council on August 20, 2002. The purpose of this workshop was to draft a set of norms to guide those running for elected office. The City Council later agreed that these practices would create behavior that they would trust, thus calling the document the "Council of Trust."

The Council adopted the Ethics Committee's recommended "Process for City Board/Commission Review," regarding handling concerns/complaints expressed about Board/Commission members, at their July 16, 2002 meeting.

Ethics consultant Dr. Tom Shanks and the City Manager gave a presentation at the Municipal Management Assistants of Northern California Conference in Santa Rosa, on October 17, 2002, "Translating Ethics into Every Day Actions."

The City Manager met with Board and Commission Staff Liaisons on November 6, 2002 to discuss the September 30th workshop, "Living Our Values...Succeeding as Board/Commission Members." At this meeting, Dr. Tom Shanks also provided the Staff Liaisons with tips how Commissioners could use the Pocket Card to review and improve their conduct and decision making processes.

On December 3, 2002, a Study Session was held regarding the follow-up to Council's "Managing Change Workshop: Review of Ethical Standards for Running for Elective Office and Supporting Candidates for Elective Office Workshop." Dr. Tom Shanks, Associate Professor of Communication and Scholar at the Markkula Center for Applied Ethics at Santa Clara University, was the facilitator.

"Western City" magazine December 2002, published an article entitled, "Santa Clara Infuses Political Campaigns with Community Ethics and Values." The article outlined the City's Ethics & Values program as a useful tool for city political campaigns. It also recognized the City for winning an Award for Excellence in the Public Trust and Ethics category of the 2002 California Cities Helen Putnam Award for Excellence Program.

2003

On January 13, 2003, a workshop was held for candidates and their campaign workers to review election activities in reference to the goal of ethical campaigning. The workshop was held to evaluate the effectiveness of the various efforts the City has made to establish a climate and expectancy of ethical campaigning.

As part of the ongoing recognition program for Board/Commission Members, articles appeared in the Spring 2003 City newspaper, "Inside Santa Clara" about outstanding commission activities. The recognition program was previously recommended by the Ethics Ordinance Committee with input from Board/Commission Members, and approved by Council.

A Study Session was held April 22, 2003, to discuss the overall concept of accountability for Board and Commission members, as well as a Draft Accountability Policy and the Code of Ethics.

A recognition dinner was held for Board/Commission Members on April 29, 2003. The City Council, at their meeting on April 23, 2002, approved this special recognition event in 2002/2003 for Board/Commission Members, with a focus on the Values Program.

In response to an invitation extended by the Program Director of College of Professional Studies, University of San Francisco, the City Manager and ethics consultant Dr. Tom Shanks gave a presentation on May 5, 2003, to a graduate class on the City's Ethics & Values program.

The City Manager continued meeting with all departments and Board/Commission Staff Liaisons regarding the economic slowdown impacting the City. Departments were asked to revisit this fiscal year's budget to reduce expenditures, in keeping with the City's Value of "Fiscal Responsibility."

As part of the recognition program for Board/Commission Members, articles appeared in the City's newspaper, "Inside Santa Clara" about outstanding commission activities. The Summer 2003 issue highlighted the Concerts in the Park series and the Indoor Sculpture Exhibition, both organized by the Cultural Advisory Commission.

In October 2003, the City updated the employee orientation packet. The revised cover letter to the newly hired employee emphasized the Code of Ethics and Values for our City.

As part of the recognition program for Board/Commission Members, articles were published in the City's newspaper, Inside Santa Clara, about outstanding commission activities. The Winter 2003 issue of highlighted Mayor Patricia Mahan's attendance at meetings of nearly all of the City's Board and Commissions and the City special recognition event for 250 volunteers that said, "Hats Off to Volunteers!"

2004

The Institute for Local Government, the nonprofit research arm of the League of California Cities, released a new ethics publication entitled, “Developing a Local Agency Ethics Code: A Process-Oriented Guide.” The City Manager provided editing assistance prior to publication of this document. The City of Santa Clara’s Ethics & Values program is mentioned in several sections.

A “Year in Review” Agenda Report discussed at the City Council meeting of December 16, 2003, highlighted Council’s commitment to principles within City’s Code of Ethics & Values with goal of promoting public trust.

Several articles appeared in the “Western Cities” magazine regarding ethics.

The goals of respect and professionalism, from the City’s Code of Ethics and Values, were set for Employee Negotiation discussions.

As part of the recognition program for Board/Commission Members, articles appeared in the Spring 2004 City’s newspaper, “Inside Santa Clara,” about outstanding commissions activities, highlighting the Youth Commission, the Historical & Landmarks Commission, and the Housing Rehabilitation Loan Committee.

The Spring 2004 issue of the “Inside Santa Clara” also included the City’s Ethics & Values program expansion to include the discussion of community ethics and values...asking voters to include ethics as part of their decision making process in selecting which candidate to support in the November election.

At the April 6, 2004 City Council meeting, ethics consultant Dr. Tom Shanks conducted a workshop, “Ethical Campaigning for Candidates for Public Office: Running for Office...Living Our Values.”

The League of California Cities publication, “Priority Focus,” featured eight cities and their ethics codes in their “Hall of Fame.” Santa Clara was one of the cities. Staff noted that several other cities had copied the City’s Code and Ethics & Values verbatim, rather than using the process Santa Clara followed in developing its Code of Ethics & Values. Santa Clara’s process that included community meetings and discussion over several months to identify values of importance to the community, and to organize and incorporate those values into the document considered for adoption.

The City’s Code of Ethics and Values was mentioned in Sunday, March 28 issue of the “San Jose Mercury News.”

Dr. Tom Shanks facilitated April 27, 2004 workshop for City Council on “Ethical Campaigning for Candidates for Elective Office and their Supporters-Building and Sustaining A Council of Trust.”

As part of the on-going recognition program, an invitation was mailed to all Board/Commission Members for an evening at the NASA Ames Research Center, Moffet Field, to tour the new Mars Center on June 10, 2004.

Alexander Johnny, an official with the State of Oregon Economic and Community Development, requested permission to use the City's Code of Ethics and Values. The permission was granted for use of the Code, with notation of City of Santa Clara credit.

The City Clerk prepared a document instructing those interested in running for office in the November election on "How to Get Started." The Guide includes the Election Calendar, Financial Disclosure information and information on Ethical Campaigning.

The Summer 2004 issue of the "Inside Santa Clara" newspaper included article on "Ethical Campaigning is the Goal" to help voters recognize ethical campaign activities and information on how campaigns are run. In addition, another article "On the November Ballot" provided information on Council seats open for election.

The City's ethics consultant, Dr. Tom Shanks, facilitated an August 17, 2004 workshop for City Council on "Public Service Begins With Your Campaign! – Ethical Campaigning for Public Office."

The City implemented the Ethics Ordinance Committee's recommendation to inspire community's confidence in their municipal government and the democratic process with the following actions:

- A Voters Guide was distributed as an insert in the Fall 2004 issue of the City's quarterly newspaper, "Inside Santa Clara." (Distribution included all Santa Clara residents and businesses.)
- The Voters Guide was also mailed to Board/Commission Members, service groups, colleges, former elected officials, and media.
- Information on "Vote Ethics" was published in the September and October 2004 "Mission City SCENES" utility bill inserts.
- The Voters Guide was posted on the City's website.
- "Vote Ethics" messages were also posted in announcements on the municipal government Cable Channel 15.

"Key Ethics Law Principles for Public Servants," a reference card publication of the Institute for Local Self Government, was given to Board/Commission Staff Liaisons to distribute to their Commissioners.

As part of the recognition program for Board/Commission Members, articles highlighting the Housing Rehabilitation Loan Committee and the ADA Committee appeared in the Fall 2004 City's newspaper, "Inside Santa Clara," about outstanding Commission activities.

The City Manager attended the League of California Cities Ethics Education Task Force meeting in Monterey July 29, 2004. She serves on the League's Ethics Advisory Panel.

A status report of Campaign Ethics Program and Voters Guide was presented at the October 12, 2004 City Council meeting.

A televised and open to the public forum for municipal candidates for office, called "The Final Word," was sponsored by the City and held November 1, 2004, the night before the election, to provide an opportunity to review any issues that may have arisen during the campaign, especially last minute issues. The public and candidates were invited to submit topics for discussion about issues that may exist, or to extend compliments to candidates who had conducted their campaigns in accordance with the City's Ethics & Values program. Several meetings were held between Staff, League of Women Voters, and ethics consultant Dr. Tom Shanks to prepare for this forum. Another City contacted Santa Clara and asked to copy this election-eve forum concept in their jurisdiction, and materials were shared.

As part of the recognition program for Board/Commission and Committee Members, an article highlighting the Americans with Disabilities Act Committee appeared in the Winter 2004 City's newspaper, "Inside Santa Clara." In addition, an article to solicit volunteers for Commission vacancies was also published in the same issue.

City ethics consultant Dr. Shanks mailed out a letter to all candidates thanking them for serving as role models for the City's Code of Ethics and Values and to invite them to attend a public study session after the elections for an honest assessment of the campaign.

2005

On January 10, 2005 a workshop was held to discuss ethical campaigning in the November 2004 Municipal Election. Topics of discussion included satisfaction levels with respect to campaign conduct in relationship to the City's Code of Ethics and Values, if candidates had fulfilled their promises to conduct ethical campaigns.

The Institute for Local Self Government published, "A Local Official's Reference on Ethics Laws, Principles, Prohibitions, and Consequences," and copies were distributed to the City Council as well as to the elected City Clerk and the elected Chief of Police. The City Manager and Deputy City Manager were contributors to this publication.

Council approved an updated list of employees covered under the City's Revolving Door Ordinance, City Code Chapter 2.145, including all management employees.

To implement the Council goal, "Elevate Ethics & Values program to Next Level," the City of Santa Clara co-sponsored with the Santa Clara County Cities Association a training session on issues of ethics that are of interest to elected officials on October 13, from 7 to 9 p.m., at Santa Clara City Hall. The two-hour refresher course was based on questions submitted by the attending elected officials and focused on conflicts of interest

and the role of Council Members in campaign situations. The facilitator for the series was the Markkula Center for Applied Ethics, Santa Clara University.

In October 2005 the City conducted “Harassment Prevention Training” for all managers and supervisors. The City’s Code of Ethics and Values was included with the training.

The City’s Code of Ethics and Values was added as a masthead in the City’s publication, “Inside Santa Clara,” starting December 2005 issue.

The City’s Code of Ethics and Values message was added as a masthead to the employee newsletter, “City Corner.”

The “2005 Annual Report/2006 Santa Clara City Calendar” focused on the Code of Ethics and Values throughout the publication, and “Living Our Values.”

2006

The City of Santa Clara, in conjunction with the Santa Clara University Communications Department, conducted an ethics awareness effectiveness survey. The purpose of administering this survey was to determine if the current Code of Ethics and Values continues to reflect citizen expectations and real promises by City officials and staff and to draft practical guidelines for fostering public trust through policy development and action plans. Survey results would enable the City to effectively build on current Ethics Program successes and set appropriate standards, as well as meet Council’s 2005-2007 goals.

The City’s Code of Ethics and Values message was added to the monthly utility bill, “Mission City SCENES,” starting March 2006 issue.

The City Manager participated in the Ethics and Leadership Camp for Public Offices, held June 21 and 22, 2006 at Santa Clara University’s Markkula Center for Applied Ethics.

Department Heads, while working on their 2006-07 budgets, were asked to apply the “Budget Principles of 2006-07,” which include the value of “fiscal responsibility.”

As part of the commitment to the City’s Ethics and Values, Employer Negotiation Principles for discussions with bargaining units were developed and approved by unanimous vote of the City Council.

Results from the City’s Ethics Survey were reviewed at an Ethics Committee meeting on August 24, 2006, and were presented by the City’s ethics consultant, Dr. Tom Shanks, and the Deputy City Manager.

The City's ethics consultant Dr. Shanks facilitated an August 24, 2006 workshop for City Council on "Public Service Begins With Your Campaign! – Ethical Campaigning for Public Office."

The September issue of the City's quarterly publication, "Inside Santa Clara," again carried a "Voters Guide," renamed the "Vote Ethics Guide," as an insert, with updated topics, eye-catching graphics and a theme that "ethics in government begins at the ballot box."

The September "Mission City SCENES" utility bill insert sent to all City utility customers with their September bills had an article on the cover titled "Ethics in government begins at the ballot box," mentioning the results of the City's ethics survey and that residents want to elect individuals who embody the highest standards of ethics. The article further encouraged people to look for more information on this topic in the City's quarterly newspaper, on the City's website, and on municipal Cable Channel 15.

Results from the City's Ethics Survey were presented to the City Council on September 12 by the City's ethics consultant, Dr. Tom Shanks. An executive summary of the survey results report was posted on the City's website.

In addition to receiving a report on the results of the Ethics Survey at the September 12 City Council meeting, Council approved the format for the Final Word Forum on November 6, the night before the election. The forum will include candidates for municipal office and representatives of those for and against the ballot measure on binding interest arbitration. Council also approved a communications plan for the 2006 Vote Ethics program, including re-mailing of the Vote Ethics Guide, three additional mailers on the program, announcements on the municipal Cable Channel 15, announcements on the Highway 101 electronic reader board, website update, video newsbriefs, and numerous other steps. Council was informed that two new URLs had been reserved to assist the public in finding the Vote Ethics information online: voteethics.org and santaclaracampaigndollars.org. These URLs will automatically direct people to (respectively) the information on the City's Vote Ethics and Ethics & Values program found on the City's website, and to candidate campaign disclosure reports also posted online.

The City's ethics consultant and the City Clerk made a presentation on the Vote Ethics program at the Santa Clara Rotary Club on September 14, 2006, and provided copies of the Vote Ethics Guide and City's Code of Ethics & Values.

The City's ethics consultant and the City Clerk staffed a Vote Ethics booth at the September 16 and 17, 2006 Santa Clara Art & Wine Festival, engaging citizens in the topic, handing out materials such as the Vote Ethics Guide and October Utility bill insert on residents making ethics part of their candidate selection criteria, providing Voter Registration forms and accepting completed ones, etc.

October municipal utility bills sent to all City residents and businesses have the Vote Ethics emphasis in numerous areas:

- The bill envelopes are printed with the Vote Ethics graphic and the message: Ethics in government begins at the ballot box
- An inside bill “face of bill” message says: “Every vote counts in building public trust and confidence in local government.”
- A second inside “face of bill” message states:
 “Ethics and values are a priority in the City of Santa Clara.”
 Since 2000, the City of Santa Clara has looked to its Code of Ethics & Values to help leaders perform “at their best” in serving the community. How well do the candidates running for office on Nov. 7th embody the eight principles of the City’s Code – ethical professional, service-oriented, fiscally responsible, organized, communicative, collaborative, progressive? See the separate insert for more information.
- A separate utility bill insert encouraged residents to “make ethics part of (their) candidate selection criteria,” and provided a “voter checklist for evaluating candidates.”
- The “Mission City SCENES” utility bill insert itself encouraged residents to check out the extra bill insert.

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